

| STATE OF VERMONT Agency of Human Services (AHS) | | |
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| Development and Dissemination of AHS-wide Standards and Guidelines | REVISION HISTORY: 03/01/1987; 09/01/92; 07/25/2005, | Chapter/Number General 1.01 |
| | EFFECTIVE DATE: July 15, 2007 | Attachments/Related Documents: 1. Sample Format/Instructions |
| Authorizing Signature: <i>Signed by: Cynthia D. LaWare, Secretary, Agency of Human Services June 29, 2007</i> | | |

PURPOSE/POLICY STATEMENT:

To establish procedures for the development and dissemination of standards and/or guidelines that are applicable to all departments and offices within the Agency of Human Services (AHS).

BACKGROUND and REFERENCES:

Since the creation of the original agency policy in 1987 much has changed in organizational structure as well as information technology and operations. This document is being updated to reflect these and other administrative and organizational changes. The 2005 revision merged two separate policies that cover the development and distribution of policies and the updated categories used to group policies. This 2006 revision recognizes the cross-departmental nature of our operations while also recognizing the need for departments to maintain policy and procedures related to specific aspects of their work and deliverables.

DEFINITIONS:

Agency - The Agency of Human Services

Associates - Anyone who has a relationship with the Agency of Human Services, through contract, grant or other association that supports the delivery of services, general operation and functions of the various departments and programs within the Agency's purview.

Policy Review Board - Key staff of the Agency's Central Office, to include, but not limited to, the Director of Operations and Planning (who will act as Chair), the Deputy Commissioner of Field Services, the AHS Human Resources Director, the Agency Chief Information Officer and the Agency Counsel.

Standards - Minimum expectations related to operations, staff conduct, organizational performance, structure or work place environment that all departments and offices must follow.

Guidelines - Procedures or considerations related to operations, staff conduct, organizational performance, structure or work place environment that all departments and offices must incorporate into existing or new departmental practice.

SCOPE:

This document applies to all Agency Departments, Division and Offices hereafter referred to jointly as "department".

STANDARD:

In order to minimize the creation of policy, standards or procedural documents that are duplicative or in conflict with Agency wide expectations, individual departments are responsible for familiarizing themselves with existing AHS and State of Vermont policy, standards and guidelines.

Any Department developing policy, guidelines or standards that may have an Agency-wide impact, or may impact a consumer, who receives multiple AHS services, must ensure that a relevant cross-departmental team has an opportunity for input or review. Relevant teams may include, but are not limited to: Commissioners, New Agency Team, Global Commitment Operations, Policy Executives, Human Resource Development Consortium, etc. Reviews will, at a minimum, serve to:

- Minimize unintended consequences to consumers of multiple AHS services
- Eliminate inconsistency across AHS in other related policy, procedures, standards or guidelines

In the interest of creating order in the dissemination of Agency wide policies, standards, guidelines and other information, an online electronic manual will be maintained by the Agency's Division of Operations & Planning.

The Agency's Division of Operations and Planning shall keep original hard copy signed versions of all policies, guidelines or standards and shall provide for periodic reviews of the documents to: (1) ensure consistency with statutes, state policies and other changes, (2) verify that the information is current and (3) affirm that the material is clear, concise and consistent with necessary and efficient administration of the Agency.

Policies, standards and guidelines will be used to disseminate matters of lasting interest, e.g. regulations, and administrative matters of a continuing nature dealing with Agency operations.

- ***All Agency documents produced must follow the format of this document.***
- Final chapter assignment and numerical sequencing will be done by the Policy Review Board
- All authorized documents will be signed by the Secretary of the Agency

Memos or notices will be used to deal with matters of a temporary nature, such as one-time required reports, interim regulations, or on-going procedures/practices not having on-going policy implications. Memos or notices will not be catalogued in the online system.

| Chapter | Section/Topic | Number in Sequence (if needed) | Year Created or Revised |
|------------------|---------------|--------------------------------|-------------------------|
| 01, 02, 03, etc. | A, B, C, etc | 1, 2, 3, | 06, 07, 08 |

The following structure shall be used to categorize and number policies:

Chapters may be revised or added as needed by the Policy Review Board, those authorized as of this revision include:

| No. | Chapter |
|-----|--|
| 01 | General Operations |
| 02 | Finance, Management, Budget |
| 03 | Space, Asset Protection |
| 04 | Human Resources |
| 05 | Information Technology & Electronic Communications |
| 06 | Consumer Information and Privacy Standards |

Draft documents may be submitted to the Chair of the Policy Review Board, who shall ensure timely and appropriate review and, if applicable, revision and issuance of the document. Reviews will include but not be limited to:

- A determination of whether the proposal is applicable to all departments of the Agency
- Solicitation of input from senior leadership of the Agency related to the proposal's utility and feasibility
- Final review and approval of the AHS Secretary

COMPLIANCE:

Employees are responsible for reading and following Agency of Human Service's policies, guidelines and/or standards. Questions regarding the impact or implication of any Agency of Human Service's policy, guidelines or standards may be directed to any supervisor, Deputy or Commissioner or the Agency Policy Review Board.

All policies, guidelines or standards issued by the Secretary after the effective date of this revision will be made available in electronic form and will be posted on the AHS intranet.

It is the responsibility of the individual departments to:

- Ensure dissemination and review of policies, guidelines or standards, memo's and notices to all employees within their organizations and other associates as appropriate.
- Ensure that departmental documents are consistent with and reflect AHS and, all relevant other State of Vermont policy and procedures.

ENFORCEMENT:

Enforcement of policies, guidelines or standards shall be specified on individual policies. The Office of the Secretary may initiate reviews, assessments or other means to insure that policies, guidelines or standards are being followed.

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| <p align="center">ATTACHMENT A: SAMPLE DOCUMENT FORMAT STATE OF VERMONT Agency of Human Services (AHS)</p> | | |
| TITLE | REVISION HISTORY OR NEW | Chapter/Number TBD BY AHS |
| | EFFECTIVE DATE: | Attachments/Related Documents: 1. List relevant documents here |
| <p>Authorizing Signature: _____ Date Signed: _____ Secretary, Agency of Human Services</p> | | |

PURPOSE/POLICY STATEMENT:

A brief statement of the purpose of the document and/or the overarching policy

BACKGROUND and REFERENCES:

A statement of any relevant background and rationale for the document, if applicable, any authorizing state or federal statutes, rule or law or other reference (state policy, procedure).

DEFINITIONS:

Define any key words or terms that are specific to the document

SCOPE:

Identify who the document applies to (i.e. all Agency Departments, Division and Offices and/or Associates).

STANDARDS and/or GUIDELINES:

Choose either a “standard” or “guideline” to indicate what type of guidance/adherence you expect.

Standards - Minimum expectations related to operations, staff conduct, organizational performance, structure or work place environment that all departments and offices must follow.

Guidelines - Procedures or considerations related to operations, staff conduct, organizational performance, structure or work place environment that all departments and offices must incorporate into departmental practice.

COMPLIANCE:

Specify any departmental or staff expectations and/or actions necessary to measure compliance with standards and/or guidelines, if applicable.

ENFORCEMENT:

Specify on individual policies, what enforcement sanctions or other penalty may apply.